California State Library
Sacramento

INSTRUCTIONS FOR COMPLETING THE LIBRARY SERVICES AND TECHNOLOGY ACT (LSTA) PROPOSAL FORM (LSTA 5)

FY 2000/2001

A.   General Instructions

1.   What kinds of projects qualify for grants?

Grants are awarded on a competitive basis from the funds available. Generally speaking, the broad goal of LSTA is to provide local assistance to all types of libraries in the areas of technology innovation, resource-sharing, multitype library networking, and targeted services to people who are underserved, disadvantaged, geographically isolated, illiterate, etc. Based on sections 212 and 231 of the Act, the California State Plan for use of LSTA funds, 1998 – 2002, was approved by the U.S. Institute of Museum and Library Services in September 1997. In the plan, four general, State-level purposes were defined for use of LSTA funds. They are:

- Free and convenient access to learning and information resources through libraries of all types for individuals of all ages.
- Library services available in all parts of the state that provide all users access, through state, regional, national and international electronic networks, to information resources they require to meet their diverse, changing, and expanding educational, economic, knowledge, social, cultural, recreational, and life fulfillment needs.
- Development and implementation of the necessary electronic and resource-sharing linkages among and between libraries to support California's multitype library network development.
- Promotion and enhancement of targeted library services to people of diverse geographic, cultural, and socioeconomic backgrounds; to individuals with disabilities; and to people with limited functional literacy or information skills.

These broad goals are intended to encourage flexibility, allowing grant decisions to be based on needs identified by the California library community.

See the LSTA Information Guide and Guidelines for Developing LSTA Grant Proposals for criteria for evaluating successful proposals and advice on program priorities the State Library is most likely to consider in making grant awards. The separate Instructions for Completing the Library Services and Technology Act Application Form also contains guidance on developing project concepts, descriptions, and plans. All are included in this application packet.

2.   Who may submit a proposal?

All types of libraries, including academic, public, research, school, governmental agency

libraries and information centers, and special and corporate libraries, may apply. "Public libraries" includes public library cooperative systems and State institutional libraries.

Projects in the area of multitype library networking must include active participation by more than one jurisdiction and/or provide benefit to more than one library (academic, public, school, state, special). Projects benefiting only one library or one type of library are less competitive.

3. **What happens to the proposal?**

All proposals received by the due date stand in competition for the available federal funds. Proposals received late will not be considered. There are no specially favored categories of grant or applicant, unless specifically announced by the State Librarian. Proposals are evaluated by State Library staff members, members of the State Advisory Council on Libraries, and others as appropriate. The State Librarian then sends a letter of advice for each proposal on its competitiveness, providing guidance on whether or not an applicant should prepare the full application (LSTA Form 6).

Submitting a proposal is binding neither upon the applicant nor upon the State Library. An applicant may submit more than one proposal in a grant cycle, but the quantity should be held to a reasonable number. Elements of a proposed project, including amount of funds requested, may change from proposal to application. Applications are normally expected from jurisdictions that receive encouragement, based on the competitiveness of their proposals. However, an application may be submitted and will be considered based on a proposal that was not recommended for completion. An application may be submitted only if a proposal (LSTA 5) has previously been submitted in the same LSTA cycle.

3. **What is considered in evaluating proposals?**

The following factors (not in priority order) are considered in evaluating each proposal:

- evidence of need, including the needs assessment process
- degree of pre-planning
- client and/or community involvement in project development
- clarity
- quality of the plan, including its likelihood of success and continuation at the local level
- adequacy and realism of the budget
- potential benefit of the project and its contribution toward meeting local and statewide goals, objectives, and needs (see State Plan for Use of LSTA)

4. **What is the project time period?**

LSTA operates on the federal fiscal year, October 1 to September 30. Awards are made on a one-year basis only and are subject to the availability of federal funds. If a proposed project is judged by the applicant to be likely to require more than one year for successful operation, that

should be indicated in the proposal's project summary.

5. **What form should the proposal take?**

The proposal must be typewritten on the LSTA 5 forms, **one side only,** or printed. Legibility is essential. Use no smaller than 12 point (10 pitch) type and leave adequate margins. The application may be prepared on a computer and submitted as a printout; however, the format of this proposal form must be maintained and all information sections must be included on the same page as, and with the dimensions shown, on the original proposal form. Submission of the final version by telefacsimile is not acceptable. The proposal may be no longer than four printed pages, single sheets. Nothing may be attached to or included with the proposal. Be concise, use simple and meaningful language, and avoid jargon. Proposals that are not prepared according to instructions do not stand a good chance in the competition for funds.

6. **When and where is the proposal due?**

Submit the proposal in sixteen (16) copies. It is due by 4:30 p.m., Friday, <u>January 14, 2000</u>. Postmark is not acceptable. Regular or priority mail, or courier service, may be used and is encouraged in case of doubt. Address:

> California State Library
> Library Development Services
> Attn: Jay Cunningham
> P.O. Box 942837
> Sacramento, CA 94237-0001
>
> (Delivery: 900 N Street, Rm. 500, Sacramento CA <u>95814</u>)

For assistance with the proposal, contact Jay Cunningham at the Library Development Services Bureau of the State Library at (916) 653-8112.

B. Proposal Line-by-line Instructions

1. **Project title.** Enter the name of the project as you wish it to appear. Be concise and descriptive, in moderate length. Spell out any acronyms used.

2. **Applicant jurisdiction.** Enter the full legal name of the library and jurisdiction applying for funds, e.g., Anytown Public Library. Do not place the names of any partners on this line.

3. **Address.** Street address, and mailing address if different, with ZIP + 4 of the same applicant jurisdiction named in para. 2.

4. **Applicant contact/phone**. Give the name of the individual preparing this proposal or another person who may be contacted for information about it, together with the telephone number. This may or may not be the representative of the jurisdiction legally authorized to

apply for, and/or receive, funds.

5. **Type of library.** Check the type of library applying: CLSA cooperative public library system, Public library, Academic library, Special library (includes State institutional libraries), or School library.

6. **Population**. Figures should be taken from the U.S. Census, or more recent information may be supplied if it is available locally. Identify the source of any local information. "Client population" is the specific group that is to be served by the project (e.g., 1,500 children). "Total population" is the population served by the jurisdiction (e.g., "10,000 city residents" or "2,000 students/faculty members"). These may or may not be the same figure.

7. **Participants**. Enter the brief names of any other organizations expected to participate in the project (e.g., other libraries, colleges, social service agencies).

8. **LSTA Amount**. Enter the total <u>LSTA</u> dollar amount requested for this project, for the one grant year only. Use whole dollar figures. This may or may not be the total cost of project activities, because local or other funds may be provided in addition to LSTA.

9. **Project Summary**. This is an abstract of your entire project. **Important: at the top of page 2, cite by letter and number the Goal and the predominant Objective from the State Plan for LSTA, e.g.: "Goal C. S-T #1," that applies to your project.** Complete your description in the space provided; do not include additional pages. Describe the needs assessment process you employed and the client group needs; the plan of activities to address those needs (including the project goals and objectives you have set), and the long-term prospects for continued benefit and/or project continuation at the close of the grant-funded period. Identify the project planning process, including client and/or community involvement in its development. If libraries or organizations other than the applicant are participating, describe their involvement. Note any special personnel or equipment required by the project. Explain the source of other-than-LSTA funds and/or in-kind contributions supporting the project.

10. **Budget Summary**. This section should summarize the project budget, identifying LSTA funds requested and other funds or in-kind contributions available. Use whole dollar figures. Budgets are acknowledged to be estimates at this stage of project planning, and it is understood that dollar amounts may be adjusted later at the application stage. For your planning, see the separate <u>Federal Restrictions on Use of LSTA Funds</u> in the application packet, for information about expenses not permitted from grant funds.

<u>Rows (entries in cells are optional, depending upon the project)</u>:

a. **Salaries & Benefits**. Enter the total of salaries and benefits for all project staff members to be on the regular project payroll as employees, full-time or part-time. Do <u>not</u> include outside consultants; persons who are not employees of the applicant or partner(s) but who are paid under contract for the project; or short-term temporary labor, equipment service contractors, etc., in this line.

b. **Library Materials.** Enter the amount for library materials requested. "Library materials" are books, periodicals, tapes, videos, CD-ROMs, etc., for use primarily by the client group and, in most cases, to be added to the library's collections. Other types of materials needed by the project are considered supplies. Computer software and database subscriptions are shown in line c., Operation.

c. **Operation.** Enter the total for operating expenses, including office and library supplies, postage and telecommunications, computer software, database subscriptions, contract and maintenance expense, local travel, printing and public relations, training and conference fees, and small equipment (i.e., costing less than $5,000). Include outside consultants, personnel who are not employees of the applicant or partner(s) but who are paid under contract for the project, and short-term temporary labor identified as such.

d. **Equipment**. Enter individual items estimated to cost over $5,000, e.g., a computer projection system. Equipment in this line must be inventoried and will be tracked by the state and federal governments. It must be used for project purposes for five years, or life of the equipment, whichever comes first unless otherwise stipulated.

e. **Total for Objectives.** Enter the totals of rows a.-d. and columns 1- 4.

f. **Indirect Cost**. For the purpose of this proposal, the indirect cost referred to is a charge against the LSTA funds requested, reimbursed in LSTA dollars to the recipient, to cover local administrative support for handling the grant funds and operating the project. If there are other administrative or overhead costs that the applicant wishes to credit against the project, as a contribution to its support and in accord with local practice, these should be included under Other funds or In-kind as appropriate, in an item such as Operation. A request for LSTA Indirect is at the applicant's discretion. An amount not to exceed 10% of the LSTA program cost of the project (sub-total in row e., col. (1) in para. 10, page 4) may be requested. NOTE: To claim indirect cost, the jurisdiction must have an approved cost allocation plan on file with the Secretary of State and available to the State Library.

g. **Total.** Enter the totals of rows for each column.

Columns:

(1) **LSTA**. Enter the amount of LSTA funds requested, including Indirect, if applicable.

(2) **Other funds**. Enter the total of all other financial support anticipated to be contributed to the project, including federal (other than LSTA), state or local grants or allocations, private grant funds, Friends or philanthropic support, or other funds. Include new library funds if they are budgeted specifically for this project. Do not list in-kind contributions here.

(3) **In-kind**. Enter the estimate of in-kind contributions from all participants in the

project. In-kind contributions, to the extent that they are devoted exclusively to the conduct of this project, may include staff time, library materials and equipment, building space and utilities, and other operating or overhead costs or applicant contributions.

(4) **Total**. Enter the totals of rows and columns. Note that while e.(4) is the total amount needed to perform the work of the project, the amount of LSTA funds requested in this proposal is entered on g.(1).

11. **Signature.** The person authorized to apply for federal funds on behalf of the applicant jurisdiction should sign and date the proposal. This may be the library director or another official, as determined locally.

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